



3627

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: George R. Hood                      Examiner: (to be assigned)  
Serial No.: 09/845,851                      Group Art Unit: (to be assigned)  
Filed: April 30, 2001                      Docket: 9511  
Title: SHAREHOLDER VALUE ADD FOR FINANCIAL PROCESSING IN A RELATIONAL  
DATABASE MANAGEMENT SYSTEM

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22314-1450 on October 20, 2003.

By: GHG  
Name: George H. Gates

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Information Disclosure Statement and Form PTO-1449.
- ☒ Return postcard.

Please consider this a **PETITION FOR EXTENSION OF TIME** for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 50-1673 of NCR Corporation (the assignee of the present application). A duplicate of this paper is enclosed.

**GATES & COOPER LLP**  
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
(310) 641-8797

By: GHG  
Name: George H. Gates  
Reg. No.: 33,500  
GHG/mrj

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OCT 29 2003

GROUP 3600

(PTO TRANSMITTAL - GENERAL)



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By: [Signature]  
Name: George H. Gates

INFORMATION DISCLOSURE STATEMENT (37 C.F.R. §1.97(b))

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**

OCT 29 2003

**GROUP 3600**

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(d)(1), a copy of each document or other information listed on the enclosed Form 1449 is *not* being provided herewith because it was cited by or submitted to the U. S. Patent and Trademark Office in parent application, U. S. Serial No. 09/608,681.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to

establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

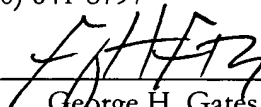
Respectfully submitted,

GATES & COOPER LLP  
Attorneys for Applicant(s)

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
(310) 641-8797

Date: October 20, 2003

GHG/mrj  
Enclosure: Form PTO-1449

By:   
George H. Gates  
Reg. No.: 33,500

<b>Form 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>IN AN APPLICATION</b>	Docket Number: 9511	Application Number: 09/845,851
	Applicant: George R. Hood	
	Filing Date: April 30, 2001	Group Art Unit: (to be assigned)

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	US-2002/0026394	02/2002	Savage et al.				
	5,189,608	02/1993	Lyons et al.				
	5,249,120	09/1993	Foley				
	5,615,109	03/1997	Eder				
	5,655,085	08/1997	Ryan et al.				
	5,712,987	01/1998	Waits et al.				
	5,721,831	02/1998	Waits et al.				
	5,819,237	10/1998	Garman				
	5,911,135	06/1999	Atkins				
	5,991,743	11/1999	Irving et al.				
	6,026,382	02/2000	Kalthoff				
	6,085,175	07/2000	Gugel et al.				
	6,233,566	05/2001	Levine et al.				
	6,240,399	05/2001	Frank et al.				
	6,253,192	06/2001	Corlett et al.				
	6,275,813	08/2001	Berka				
	6,292,787	09/2001	Scott et al.				
	6,360,210	03/2002	Wallman				
	6,393,406	05/2002	Eder				
FOREIGN PATENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	[1]	Kassing, Jay, "Profitability: Growing the Bottom Line," CSI, 1999, 43 pages.					
	[2]	"Canadian Bank Mines for Data-based Gold," Action Items, 12/2/97, 2 pages.					
	[3]	"Bank of Ireland Selects Compaq AlphaServers to Help Improve Profitability Management," 12/3/98, Compaq, 2 pages.					
	[4]	"Marquis Tops 300 MCIF-CRM Data Mart Clients Worldwide," 4/18/00, 2 pages.					
	[5]	Curley, Bob, "Royal Bank uncovers profitability solution", Bank Systems & Technology, April 2000, 2 pages.					
	[6]	Middleton, Arthur, "How Profitability Analysis is Used in Financial Services Marketing", date unknown, 3 pages.					

EXAMINER:	DATE CONSIDERED:
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	